

Contractor Performance Evaluation Guideline - 4.4.G (11/07/01)

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Last Update: (11/07/01) RShibata:kma - 4.4.G.0

This guideline has been revised to discuss the protection of QUEST documents.

Contractor Performance Ratings - 4.4.G.1

Evaluation Criteria - 4.4.G.1.a

Each Contractor in the Contractor Evaluation Program will be evaluated semiannually via a "Contractor Performance Evaluation" form. This form will be sent to the SNL requester and a notification sent to the SCR. A request for optional feedback will also be sent to the Contract Administrator, Security, Auditing, Receiving, and Accounts Payable. The criteria to be evaluated are:

1. Performance
2. Safety
3. Cost/Schedule Management

4. Communications, and
5. Value of Products or Services

Note: See Contractor Performance Evaluation form, SF 6432-CPE (2/99) in the "PG Forms." Manual.

All SNL solicitations contain the Section II Clause titled "Performance Evaluation Program." This clause will inform all suppliers that their contract may be selected for review under SNL's Contractor Performance Evaluation process.

Performance Ratings - 4.4.G.1.b

Each Contractor in the program shall be given a rating for the selected contract(s) for each evaluation period (based on the following table).

Rating	
0 - 2.4	UNACCEPTABLE
2.5 – 3.4	POOR/Did not meet basic requirements
3.5 - 3.9	ACCEPTABLE/Met basic requirements
4.0 – 4.4	GOOD/Exceeded basic requirements
4.5 – 5.0	OUTSTANDING

Each of the five criteria (on the "Contractor Performance Evaluation" form) shall be given an individual rating. These ratings will be averaged to determine the overall score.

The SCR will make the final determination on the Contractors' overall performance rating taking into consideration any input from the technical line organization and, if provided, from the Contract Administrator, Security, Auditing, Receiving, and Accounts Payable.

Contractor Evaluation Process - 4.4.G.2

Semiannual evaluations will be performed for a specified six-month performance period. The following table outlines the process to be followed for performing the evaluations.

Step	Who	Action
1	QUEST Oversight Team	<ul style="list-style-type: none"> Approximately every six months, identifies which contracts or Contractors will be included in the QUEST Program two weeks prior to issuance of the Contractor Performance Evaluation form. Takes into consideration Sandia's largest dollar value contracts, strategic suppliers, lessons learned, or any other performance data that is relevant. <p>Note: A Contractor may request an evaluation at any time. The request will be considered at the</p>

		beginning of the next evaluation period.
2	QUEST Oversight Clerk	<ul style="list-style-type: none"> Based on the Contractors identified in item one: <ul style="list-style-type: none"> Prepares and distributes the evaluation form(s) (Evaluation Form Cover Sheet (1st. Request) and Contractor Evaluation Form – SF 6432-CPE (2/99)) to the Requester(s) soliciting a response within two weeks of issuance of the evaluation form. (Forms referenced above can be found in "PG Forms.") Notifies Contractors (Contractor Selection Notice) that they have been selected for evaluation. (Copy of Notice can be found in "PG Forms.") Notifies the appropriate SCR that the evaluation forms have been distributed. Requests optional feedback (Optional Feedback Request Form) from Contract Administrator, Security, Auditing, Receiving, and Accounts Payable with instructions to provide all feedback directly to the appropriate SCR. (Form referenced can be found in "PG Forms.")
3	Requester	<ul style="list-style-type: none"> Completes the evaluation form. (All questions in regard to completing the form shall be directed to the SCR listed on the evaluation form.) Sends completed evaluation to QUEST Oversight Clerk by the requested due date.
4	QUEST Oversight Clerk	<ul style="list-style-type: none"> Follows-up with Requester. If a response has not been received three (3) days prior to the due date, the Oversight Clerk follows-up and reminds the Requester about the due date. If no response is received by the requested due date, resends the evaluation form to the Requester and the Requester's Manager requesting a response within one week of reissuing the evaluation form (Evaluation Form Cover Sheet (Second Request). (Form can be found in "PG Forms.") If the Oversight Clerk still does not receive a response by the new due date, forwards the item to the QUEST Oversight Leader for resolution.
5	QUEST Oversight Leader	<ul style="list-style-type: none"> Contacts the respective SCR and tries to resolve the issue. If the efforts of the Leader and SCR are not successful, the Leader will work up the SNL management ladder until either the issue is resolved or it is determined that this contract or Contractor

		should be deleted from the evaluation list for this evaluation period.
6	QUEST Oversight Clerk	<ul style="list-style-type: none"> • Gathers evaluations. • Checks with the appropriate SCR(s) to determine if they have received any additional input for this evaluation period. • If no additional input was received, inputs the score into the Contractor Evaluation Database, otherwise proceed to Step 7.
7	SCR	<ul style="list-style-type: none"> • SCR factors in all data received, and if necessary, revises the score provided by the Requester. • Provides score to the Clerk, within one week of request, for input into the Contractor Evaluation Database
8	QUEST Oversight Clerk	<ul style="list-style-type: none"> • Inputs score into the Contractor Evaluation Database. • Runs reports within one week of receiving all evaluation data for the current evaluation period. Reports will identify contracts/Contractors with scores of ≤ 3.4 and separately identify those with a score of > 3.4. • Forwards reports to respective SCRs. • Sends a report to the Contractor with their score
9	SCR	<ul style="list-style-type: none"> • If score is ≤ 3.4, schedules a meeting with the Contractor and appropriate attendees. This meeting shall be held within three weeks of receiving the report. Attendees shall include as a minimum: the SCR, Contractor, and Requester. Attendees may also include: the SCR's Manager, Requester's Manager, and QUEST Oversight Team Leader. (Note: Prior to the meeting the SCR should assure that all supporting data is available and that the score is correct.) • If the score is > 3.4, a meeting can be held at SCR discretion.
10	SCR & Meeting Attendees	<ul style="list-style-type: none"> • Comes to a consensus on final score. • Determines if a corrective action plan is required from the Contractor. • Monitors implementation of corrective action plan
11	SCR	<ul style="list-style-type: none"> • If the score has changed, notifies the Oversight Clerk. • Documents the outcome of the meeting in the Contractor Evaluation Database within one week.

		(This data will be used to support the final scores input into the database.)
12	QUEST Oversight Clerk	Makes any necessary adjustments, which resulted from the meeting, to the scores in the Contractor Evaluation Database.
13	QUEST Oversight Leader	After all issues have been resolved and final scores determined, sends a letter of notification (Final Score Notification) to the Contractor, SCR, and Requester noting the final scores which have been input into the Contractor Evaluation Database. (Notification form can be found in "PG Forms.")
14	Contractor	<p>If the final score is less than or equal to 3.4, the Contractor submits a corrective action plan agreed to in Step 10 within 21 days of the meeting. This corrective action plan must detail the Contractor's:</p> <ul style="list-style-type: none"> • explanation for the problems, • the action required to correct the problems, and • the timetable to complete all corrective actions. <p>If the Contractor fails to submit an acceptable action plan, Sandia will contact the Contractor to obtain such a plan.</p>
15	SCR/Requester/Contractor	Monitors implementation of the corrective action plan.
16	QUEST Oversight Clerk	Each evaluation period, runs a report that lists all contracts or Contractors that had a score of ≤ 3.4 in two successive periods and provides that report to the QUEST Oversight Leader.
17	QUEST Oversight Leader	<ul style="list-style-type: none"> • If after the implementation of a Corrective Action Plan, the contract or Contractor was scored ≤ 3.4 in two successive periods, sets up a meeting with the SCR, SCR Manager, and Requester to develop a strategy for resolving this issue. • Documents the strategy in the Contractor Evaluation Database. • If the contract or Contractor receives a score of ≤ 3.4 in the next evaluation period, the QUEST Oversight Leader sets up another meeting to develop a new strategy to resolve the issue.
18	QUEST Oversight Team	At the beginning of the next evaluation period, repeats the process beginning with Step 1.

The QUEST oversight team will consist of Senior Members of the Procurement Staff and will be led by a Staff member from the Procurement Supplier Relations Organization.

Protection of QUEST Contractor Evaluation Forms, Letters and Corrective Action Plans - 4.4.G.3

QUEST documents such as Contractor Evaluation Forms, Letters and Corrective Action Plans are considered by our suppliers to contain supplier's proprietary information which is protected by State and Federal laws. All such documents must be appropriately marked to indicate that the information is Supplier Proprietary Information. The SCR is responsible for ensuring that QUEST documents are appropriately handled and that access is limited to those Sandia employees with a "need to know." QUEST documents should be protected from disclosure to unauthorized personnel.

Internal Sandia Protection - 4.4.G.3.1

As QUEST documents may be used in the consideration of awards of contracts, QUEST documents must be treated as source selection information at all times. Information contained in the documents must be protected in the same manner as information contained in completed source selection files. The SCR is responsible for controlling access to the QUEST documents.

External Sandia Protection - 4.4.G.3.2

Due to the sensitive nature of QUEST documents, disclosure of these documents to Contractors other than the Contractor that is the subject of the report or other entities external to Sandia is not authorized. A Contractor may be granted access to its QUEST documents by the SCR. The SCR must document the name of the individual granted access to the report and must ensure that the person granted access has a need to know and is authorized to review the QUEST document.

Any requests by governmental agencies for access to the QUEST documents should be referred to the Sandia Legal Organization.

Send feedback on ideas and information on this page to the Process Expert, Randy Shibata.



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